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UNITED STATES P 2 7 2017 SECURITIES AND EXCHANGE COMMISSION Washington, D.C./20549 Ington DC

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I **Initial Listing Report** 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdaq PHLX LLC (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): **Open End Management Investment Company** 3. Class of New Derivative Securities Product: **Exchange Traded Fund** 4. Name of Underlying Instrument: **BofA Merrill Lynch Diversified Core U.S. Preferred Securities Index** 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-based** 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE Arca Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 2 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): N/A 17003459 Part II Execution The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: Colleen Steele **Assistant Corporate Secretary** Telephone Number: Securities L. Change Act of 1934 Act 301-978-8736 Section Manual Signature of Official Responsible for Form: 19b-4 Rule 196-46

Public

Availability:

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